



2004/2005

# Beverage Container Recycling Competitive Grant Solicitation



*The California Department of Conservation (Department) is making up to \$1.5 million funding available to promote increased recycling of beverage containers throughout California, pursuant to Public Resources Code (PRC), Division 12.1, Chapter 7, Section 14581(a)(5)(A). Organizations that are interested in applying must submit a concept package to the Department by April 5, 2004, in order to be considered.*

## BACKGROUND

Through the Division of Recycling, the Department administers the California Beverage Container Recycling and Litter Reduction Act (Act) which governs the recycling of California Redemption Value (CRV) beverage containers. The stated goal of the Act is to achieve an 80 percent beverage container recycling rate in California. Currently, that rate is 58 percent. The recycling rate has declined, in part, due to additional beverage containers being included in California's beverage container recycling program since January 1, 2000. The number of beverage containers collected for recycling has also not kept pace with the growth in sales of beverages.

## GRANT FOCUS

In an effort to reverse the direction of the beverage container recycling rate in California, the Department is **seeking large scale projects** that will significantly increase convenient collection of all CRV beverage containers **away from home, specifically at business locations**. Collection programs do not necessarily need to be where beverages are purchased, and recycling programs can be established at non-traditional locations. However, project proposals should demonstrate why the choice of location will increase the recycling and decrease the disposal of used beverage containers. Components to incorporate include but are not limited to the following:

- Creative and innovative concepts with a well demonstrated high likelihood of success, significantly increasing convenient collection of CRV beverage containers.
- A convenient collection system for business employees and customers/visitors.
- Use of partnerships, in-kind donations, and matching funds to leverage the scope, size and duration of this project.

- Elimination of recycling barriers and obstacles to recycling.
- Implementation of a sustainable ongoing recycling program.
- Well-supported demonstration of and commitment to long-term sustainability after grant funding terminates. *(Please note: proposals that do not provide solid evidence as to why and how their project will continue beyond the term of grant, will not be funded.)*
- Supported statistical data on baseline volumes and projected volumes to be collected *(in pounds broken out by material type)*.
- A system to track actual pounds/tonnage of beverage containers collected (not estimates) by material type for reporting and analysis of project outcomes.

Project concepts that tie in with the focus include, but are not limited to, establishing innovative, large scale collection systems to offer convenient beverage container recycling to employees and customers/visitors at multiple or statewide locations in:

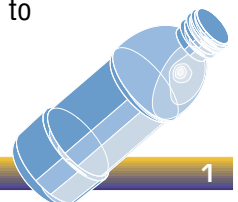
- Restaurant/bar franchises
- Office supply retail chains
- Gyms and fitness centers
- Retail and/or franchised businesses  
*(e.g., home improvement, "big box" retailers, etc.)*

## WHO CAN APPLY?

Anyone - individuals, government entities, businesses and non-profit organizations - can apply.

## QUESTION / ANSWER PERIOD

Questions must be submitted in writing to **Grants@conservation.ca.gov** or:



**Department of Conservation**  
**Division of Recycling**  
801 K Street, MS 17-01 (17th Floor)  
Sacramento, CA 95814-3533  
Attention: Community Outreach Branch

Questions and answers will be posted weekly on our website from February 6, 2004, through March 31, 2004. These questions and answers will be mailed or faxed, upon request, for applicants without Internet access. After March 29, 2004, no other questions will be taken. Please note that questions should be general. Questions regarding a specific project will not be answered.

## DESCRIPTION OF NEW APPLICATION PROCESS

With an increase in the amount of funds available to \$1.5 million, the Department anticipates increased interest in the grant program. To efficiently use existing Department resources and to save applicants time and costs, the application process has changed from previous fiscal years. The new application process will consist of two phases:

- **PHASE 1 - CONCEPT**
- **PHASE 2 - FULL PROPOSAL**

*In Phase 1*, interested applicants will submit a concept. A minimum review and screening of each submission will be conducted and a pass/fail score given.

*In Phase 2*, those applicants whose concepts received a "pass" score in Phase 1 will be invited to develop the concepts into full proposals. The evaluation committee will not review proposals received by the Department that did not go through Phase 1 (concept). An invitation to submit a proposal is not a guarantee of funding.

The Phase 2 proposals will be reviewed and scored by a committee and funds will be awarded to those that receive the highest scores.

## PHASE 1 CONCEPT MINIMUM REVIEW REQUIREMENTS

To qualify for screening in Phase 1, concepts **must** meet all of the following minimum requirements:

- Concept packages must be received by the Department on or before **5:00 p.m., Monday, April 5, 2004**.
- **One original and six (6) copies:** Concepts can be submitted by mail or hand delivered. Certified mail is recommended.
- Cover page must be signed by a person with

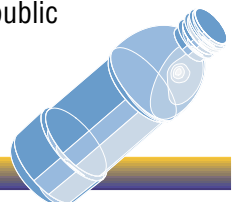
authorization to bind the individual, entity or organization to a grant agreement or contract.

- Concept must focus **primarily** on CRV beverage container recycling and be within the specified grant focus.
- Applicant(s) **must** be in good standing with the Department (no outstanding fines, penalties or audit findings due the Department).
- Concept budget **must** request a **minimum** of \$35,000 in grant funds from the Department.
- Concept **must** identify at least one partner who provides a budgetary contribution as a form of support for the project.

## CONCEPT SCREENING CRITERIA (Phase 1)

Concepts passing the initial minimum review will be screened. Applicants must provide sufficient information for screening of project outcomes. The concept must not exceed three (3) pages (not including Attachment A). The text should be on 8 1/2" X 11" office paper with a minimum font size of 10-point.

- **Concept Cover Page (Attachment A):** Please complete entire form, including the assembly and senate district number(s) which can be found on the following website ([www.leginfo.ca.gov/yourleg.html](http://www.leginfo.ca.gov/yourleg.html)) or by contacting your county library or county clerk. The concept cover page must be signed by a person with authorization to bind the organization to a grant agreement or contract, if applicable.
- **Project Description:** Provide a brief summary of the project, the target audience and the area in which your project activities will take place. Identify the partners involved and describe the role of each in implementing the project.
- **Qualifications:** The applicant should introduce the organization and describe the knowledge and experience that qualify it to conduct the project.
- **Need:** Describe why the project should be funded and how the community(ies) would benefit. Describe and identify service gaps and any obstacles to beverage container recycling that would be overcome if the project were awarded grant funds. Provide evidence that supports the need for and the potential outcomes from your project. This could include data from a waste assessment or audit, actual monthly or annual sales data for CRV products sold to consumers (*e.g., bars and restaurants*), market analysis and/or public surveys.



- **Summary of a Completed Waste Assessment/Audit:** (If used to justify the need). Describe the process and steps used for the waste assessment/audit completed prior to submission of this concept and actual findings. Be sure to identify the amount and percentage of beverage containers (by material type) in the current waste stream at the proposed site(s) along with the amount of discards and other recyclables.

- **Address the Department's goal:** Describe how the project will support an increase in the CRV beverage container recycling rate.

## TENTATIVE SCHEDULE (Phase 1)

DATE	ACTIVITY
January 30, 2004	Release solicitation and post on the web
February 6, 2004 through March 31, 2004	Question and answer period
April 5, 2004	Concepts due
April 30, 2004	Invite successful applicants to apply for Phase 2

## PHASE 2 FULL PROPOSAL REQUIREMENTS

Applicants invited to submit a full proposal (Phase 2) will be provided the budget and implementation schedule forms at that time. DO NOT submit this information until and unless the Department notifies you that your project has been selected to compete in Phase 2. The proposal package **must** include all of the following:

- **One original and six (6) copies:** Proposals can be submitted by mail or hand delivered. Certified mail is recommended.
- **Project Narrative:** Should not be more than five (5) pages of text and two (2) pages for maps, graphs, charts, diagrams, or other supporting documentation. All copies should be double-sided, 3-hole punched and printed on recycled content paper. Letters of financial commitment from partners must be submitted with the proposal. In addition, when a proposal establishes a recycling program at a specific venue (e.g., *Gurdy's gas stations*), a letter from each venue owner/operator should be submitted which demonstrates the intent and on-going commitment to participate in the project during and after grant funding terminates. The letters are considered separate and do not count towards the page limit.
- **Goals and Targets:** State what will be accomplished and

a specific target to be achieved by the end of the agreement term [e.g., *This project will establish a CRV beverage container recycling program in 15 of our fitness centers (goal) and we will increase the volume of CRV beverage containers collected by 50% (target)*]. The target **must** be supported with baseline data (e.g., *the volumes generated within the proposed site(s), actual volumes currently collected at the proposed site(s), and projected volumes to be captured*).

- **Objectives:** List the strategies you will use to achieve your goal (e.g., *The goal will be achieved by 1) increasing convenience by placing a recycling container next to every trash bin at the proposed site(s); 2) increasing knowledge about the CRV beverage container recycling program by placing signage in the fitness centers and information about the recycling program on our website; 3) redeeming collected materials at a certified recycling center and using the proceeds to fund an in-house incentive program*).
- **Cost-Effectiveness:** Mathematically compare the estimated volume of CRV beverage containers (by each material type) to be collected to the dollar amount of grant funding requested (e.g., *The project anticipates collecting 500,000 pounds of PET plastic #1 beverage containers annually with an initial investment of \$100,000 in grant funds, equating to a cost of \$0.20 per pound for collected materials.*) Comparisons by weight or count are acceptable, as long as they are broken out by material type.
- **Sustainability:** Provide a detailed summary of all commitments, efforts and financial resources that will ensure long-term sustainability after grant funding terminates. Proposals identifying the ongoing operational costs and the ability to cover these costs in future years without additional Department grant funding will receive the highest scores in this area. Failure to adequately address long-term sustainability may result in projects not being funded, regardless of their overall score.
- **Diagrams:** If applicable, applicant should provide maps of proposed locations and sites.
- **Budget Page:** (*Attachment B*) (*Minimum request \$35,000 - Department portion*). Complete the budget page and provide a narrative explanation and justification for each line item. All line items should be justifiable, reasonable, and cost-effective when compared to the project goal. If staff benefits are usually paid to staff employed in the organization, benefits may be allowed in the budget for proposed new staff.

Applicants are strongly encouraged to request funds for costs relating to project start-up and not for ongoing



operation, salaries, or maintenance. Projects that demonstrate the highest likelihood of sustainability beyond the scope of the grant and without additional funding from the Department, will receive the highest funding preference. Applications requesting high percentages of funds for salaries/wages must demonstrate how the project will continue in the absence of these funds at the end of the grant term.

Be specific as to the types of equipment requested. Applicants are encouraged, but not required, to contact multiple vendors to evaluate collection bins and other equipment and to obtain a minimum of three (3) bids for products and services over \$500. Applicants should retain copies of all bids for review if the grant is awarded. The budget should take into consideration the cost of signage for collection bins acknowledging the support from the Department, future price increases, and the cost of sales tax, shipping/delivery and other fees. Generic (*non-specific*) line items such as “overhead expenses” or “administrative costs” will not be allowed. Preference will be given to equipment manufactured from recycled and/or post-consumer beverage container material. Please submit evidence from the vendor or other source indicating the percentage of recycled/post-consumer content.

Budgetary contributions (*matching funds and in-kind services*) should be listed by line item. Provide detailed justifications for the value of “in-kind” services and identify source of funding for all leveraged resources. Letters of financial commitment from partners **must** be submitted as an attachment(s) to the budget page.

- **Work Plan:** (*Attachment C*) Provide a detailed listing of each major milestone from project inception to completion with target dates at which progress can be measured. The plan should be realistic and the potential for delays should be taken into consideration. The work plan must include twelve (12) months of CRV collection and volume reporting. **Please note that projects cannot begin prior to October 18, 2004.**
- **Proof of organizational status and authority** (*if applicable*): Provide one (1) **copy** of your partnership agreement (*if a partnership*) or Articles of Incorporation or Organization (*if a corporation or limited liability company*), and proof of nonprofit status if a nonprofit organization. (*Acceptable proof is the letter from the United States Internal Revenue Service or California Franchise Tax Board granting nonprofit status under 26 USC, 501 (c) or (d) or Section 23701 of the Revenue and Taxation Code*). Governmental agencies to provide proof of nonprofit status. City, county, and other governmental entity applicants will need to provide an approved resolution (*can be provided immediately after grant funds are awarded*). Provide one (1) copy of any current fictitious business name statement and business license,

if applicable. In order to reduce costs and paper, do not include copies of these documents in the six (6) copies of the proposal that you provide the Department.

## TENTATIVE SCHEDULE (Phase 2)

DATE	ACTIVITY
July 7, 2004	Proposals due
July 21, 2004	Evaluation committee convenes to review proposals and make funding recommendations
September 10, 2004	Awards announced
October 18, 2004	Projects begin

## HOW TO SUBMIT CONCEPTS AND PROPOSALS

The concepts and proposals can be mailed or hand delivered to the following address:

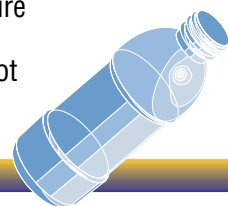
**Department of Conservation**  
**Division of Recycling**  
 801 K Street, MS 17-01 (17th Floor)  
 Sacramento, CA 95814-3533  
*Attention: Community Outreach Branch*

**It is the responsibility of the individual/entity applying for the grant to ensure the Department receives a complete concept and proposal by the established deadlines. We will not accept concepts or proposals sent electronically or by fax.**

## GRANT ADMINISTRATION

Grants awarded by the Department are administered through a grant agreement. Grant agreements consist of standard language, a grant summary, budget, and an implementation schedule with measurable milestones. Department policy discourages any changes to the standard language; only the most critical of circumstances will be considered adequate to justify any modification. A sample grant agreement can be downloaded from the Department website by clicking on the [Sample DOC Grant Agreement link](#).

All expenses incurred by the grantee are reimbursed in arrears, based on actual costs and require compliance with the grant agreement. Advance payments of grant funds are not allowed. Expenses incurred prior to the





effective date of the grant agreement or after the closing date of the grant agreement are not reimbursable. The Department will retain ten (10) percent of each grant progress payment until all tasks outlined in the grant agreement are completed. Final payment of the withheld funds will be made only after approval of a project final report.

As a condition for receiving grant funds, grantees must comply with all certification or registration requirements, if any, for the projects implemented with grant funds. Grantees are required to submit status reports, including volume and revenue information for all CRV materials collected. When possible, grantees must purchase recycled-content products in accordance with Department purchasing goals.

## PROPOSAL EVALUATION AND SCORING CRITERIA (Phase 2)

Proposals will be reviewed and scored by an evaluation committee. Proposals will be scored according to the criteria below. Scores will be based on the merits of the information submitted in the proposal package. Information provided by the applicant after the final filing date of July 7, 2004, will not be accepted or considered.

The Department may modify proposals in the evaluation process. For example, funds and/or tasks proposed that are not fully justified may be reduced and/or eliminated. The score from the evaluation committee will include a recommended funding level for each proposal being awarded.

Grants recommended for funding must receive final approval by the Department Director.

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## EVALUATION CRITERIA (Phase 2)

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- 25% **Quality of Proposal:** Project is well-planned and the description succinctly and clearly defines the tasks to be performed from beginning to end and the resources required. The work plan lists major milestones at which time the Department can evaluate progress. Proposal identifies all permits, certifications, and/or registrations required. Partnerships formed to maximize the scope and depth of the project are listed, described, and well-documented via letters of financial commitment. Letters of intent and ongoing commitment are provided from venue owners/operators. Applicant has demonstrated experience in successfully implementing projects of this magnitude.
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- 25% **Need:** Proposal clearly describes why the project is needed and how it will benefit the community(ies). Addresses barriers and obstacles to collection of empty CRV beverage containers and/or identifies a significant volume of uncollected CRV beverage containers at the proposed site(s). Provides sufficient evidence and reliable data to support the need statement(s) and the potential volume of beverage containers to be collected.
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- 15% **Proposed Effectiveness:** Project goal is clearly presented and includes relevant strategies for achieving the goal and is supported with baseline data. The goal also is relevant and realistic to the identified need(s) of the proposed service area. A clear description of the data to be collected, by whom, how, at what frequency and how it will be analyzed to evaluate achievement of the goal. The project is innovative and will provide data about new methods to effectively, efficiently and substantially increase recycling/collections of beverage containers.
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- 15% **Budget:** All project costs are identified and reasonable. Line items are clearly described and justified. Budget clearly describes all budgetary contributions (*other than Department funds*) and the dollar value of all partnerships and/or in-kind services are well documented. Identify the relative degree of the cost to the Department per pounds of CRV beverage containers collected in comparison to other proposals submitted.
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- 15% **Sustainability:** Proposal identifies the necessary resources for ongoing operation and the ability to cover these costs without additional Department grant funding. Proposal identifies a system to track actual volumes of materials collected for analysis and a method for evaluating the effectiveness and efficiency of project. Evidence supports a strong commitment by the organization towards ensuring a long-term commitment to long-term sustainability after grant funds terminate.
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5% **Preference Points:** Preference points will be awarded to applicants or organizations not receiving grant funds from the Department previously or to any project incorporating **at least two** of the following five components: **1)** completion of a waste assessment/audit and provides a summary of findings and steps used to conduct the assessment/audit prior to submission of the concept; **2)** incorporation of the Department's recycling media campaign; **3)** partnerships with existing certified recyclers, manufacturers, distributors and/or the beverage industry; **4)** recycling of non-CRV materials at no cost to the Department; or, **5)** purchase of equipment/supplies manufactured from recycled and/or post-consumer beverage container material.

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